

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 10575-004001	Application No. 09/392,018
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant <b>Peter B. Madoff</b>	
		Filing Date <b>September 8, 1999</b>	Group Art Unit 2165

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
	A1	Brooks, "Instinet Corporation", SEC-No Action Letter, Fed. Sec. L. Rep. P 78,997, 1986 WL 67657, pp. 1-27.
	A2	Wunsch, "Arizona Stock Exchange", SEC-No Action Letter, 1997 WL 11862, pp. 1-12.
	A3	SEC Release No. 34-36367, "Self-Regulatory Organization: Delta Government Options Corp.; Order Approving Implementation of New Procedures for the Clearance and Settlement of Repurchase Transactions and Reverse Repurchase Transactions", 60 SEC-Docket 1216-2, October 13, 1995.
	A4	SEC Release No. 34-27611, "Self-Regulatory Organization: Delta Government Options Corp.; Order Granting Temporary Registration as a Clearing Agency", 45 SEC-Docket 388-263, January 12, 1990.
	A5	SEC Release No. 34-28899, "Self-Regulatory Organizations; Wunsch Auction Systems, Inc.; Order Granting Limited Volume Exemption from Registration as an Exchange under Section 5 of the Securities Exchange Act", 48 SEC Docket 402-152, Feb. 20, 1991.
	A6	Klein, "B&K Securities, Inc. Inquiry Letter", NO-ACT, NAFT WSB File No. 042285012, April 16, 1985.
	A7	Slevin, "93-94 CCH Dec., FSLR ¶76,837, Cantor Fitzgerald, G.P. Inquiry Letter", NO-ACT, NAFT WSB File No. 032194021, October 1, 1993.
	A8	Olberg, "CapitaLink Securities Corp. Inquiry Letter", NO-ACT, NAFT WSB File No. 100686002, September 30, 1986.
	A9	Olberg, "CapitaLink Securities Corp. Inquiry Letter 1 and Inquiry Letter 2", NO-ACT NAFT WSB File No. 041690014, April 10, 1990.
	A10	Fondren, "Intervest Financial Services, Inc. Inquiry Letter", NO-ACT NAFT WSB File No. 112392013, November 25, 1992.
	A11	Branch, "Exchange Services, Inc. Inquiry Letter", NO-ACT NAFT WSB File No. 081285010, June 22, 1985.
	A12	Branch, "91 CCH Dec., FSLR ¶79,804, Exchange Services, Inc. Inquiry Letter", NO-ACT, NAFT WSB File No. 090991011, September 11, 1991.
	A13	Hood, "91-92 CCH Dec., FSLR ¶76,093, Instinet Corp. Inquiry Letter", NO-ACT, NAFT WSB File No. 120991004, December 6, 1991.
	A14	Feller, "91-92 CCH Dec., FSLR ¶76,097, Jefferies & Co., Inc. Inquiry Letter", NO-ACT, NAFT WSB File No. 010692003, December 31, 1991.
	A15	Feller, "93 CCH Dec., FSLR ¶76,718, Lattice Trading, Inc. Inquiry Letter", NO-ACT, NAFT WSB File No. 091393002, September 10, 1993.
	A16	Brooks, "91-92 CCH Dec., FSLR ¶76,092, Fagin, Kopley & Hanson, Inc. Staff Reply Letter", NO-ACT, NAFT WSB File No. 112591019, November 25, 1991.
	A17	Glenn, "Nat'l. Partnership Exchange, Inc. Inquiry Letter", NO-ACT, NAFT WSB File No. 081886013, August 13, 1986.
	A18	Simon, "85-86 CCH Dec., FSLR ¶78,161, Nat'l Partnership Exchange, Inc. Staff Reply Letter", NO-ACT, NAFT WSB File No. 090985009, September 1, 1985.

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

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	A19	Weissler, "New York Securities Auction Corp. Inquiry Letter", NO-ACT, NAFT WSB File No. 062590005, June 15, 1990.
	A20	Feller, "87-88 CCH Dec., FSLR ¶78,515, Jefferies & Co., Inc. Inquiry Letter", NO-ACT, NAFT, WSB File No. 080387006, July 28, 1987.
	A21	McTamaney, "RMJ Securities Corp. Inquiry Letter", NO-ACT, NAFT WSB File No. 011789008, January 12, 1989.
	A22	Roiter, "Security Pacific Nat'l. Bank Inquiry Letter", NO-ACT, NAFT WSB File No. 081985007, August 18, 1985.
	A23	Roiter, "Security Pacific Nat'l. Bank Inquiry Letter", NO-ACT, NAFT WSB File No. 082586014, August 19, 1986.
	A24	Tario et al., "Transaction Services Inquiry Letter and Staff Reply Letter", NO-ACT, NAFT WSB File No. 061785011, June 15, 1985.
	A25	Hewitt, "Troster Singer Corp. Inquiry Letter and Staff Reply Letter", NO-ACT, NAFT WSB File No. 081285011, June 23, 1985.
	A26	United States Securities and Exchange Commission, Division of Market Regulation, "Market 2000: An Examination of Current Equity Market Developments – Appendix IV: Description of Proprietary Trading Systems", January 1994.

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